

FORM PTO-1380 (Rev. 06/06/00) U.S. PATENT AND TRADEMARK OFFICE: U.S. DEPARTMENT OF COMMERCE REV. 7-2008		ATTORNEY'S DOCKET NUMBER PB6861USw
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371		U.S. APPLICATION NO. (if known; see 37 CFR 1.5) 10/596,296
INTERNATIONAL APPLICATION NO. PCT/EP2004/14076	INTERNATIONAL FILING DATE December 9, 2004	PRIORITY DATE CLAIMED December 12, 2003
TITLE OF INVENTION TRICYCLE INDOLE HYDROXYETHYLAMINE DERIVATIVES AND THEIR USE IN THE TREATMENT OF ALZHEIMER'S DISEASE		
APPLICANT(S) FOR DO/EO/US Emmanuel Hubert DEMONT, Shirley REDSHAW, David R. VESEY, Daryl Simon WALTER		
<p>Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:</p> <ol style="list-style-type: none"> 1. <input type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371. 2. <input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (8) and (24) indicated below. 4. <input type="checkbox"/> The US has been elected (Article 31). 5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RQ/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). 11. <input type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/IPEA/409). 12. <input type="checkbox"/> A copy of the International Search Report (PCT/ISA/210). <p>Items 13 to 23 below concern document(s) or information included:</p> <ol style="list-style-type: none"> 13. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 14. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 15. <input type="checkbox"/> A FIRST preliminary amendment. 16. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. 17. <input type="checkbox"/> A substitute specification. 18. <input checked="" type="checkbox"/> A power of attorney and/or change of address letter. 19. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.1 and 37 CFR 1.821 - 1.825. 20. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(e)(4). 21. <input type="checkbox"/> A second copy of the English language translation of the International Application under 35 U.S.C. 154(e)(4). 22. <input type="checkbox"/> Express Mail Label No. 		

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO. if known, see 37 CFR 1.8	INTERNATIONAL APPLICATION NO.	ATTORNEY'S DOCKET NUMBER																																																																																																																																																																					
18/596,296	PCT/EP2004/14076	PB6061SUSw																																																																																																																																																																					
<p>23. Other items or information:</p> <ul style="list-style-type: none"> - Statement under 3.73(b) - Corporate Resolution (POA) 																																																																																																																																																																							
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left; padding: 5px;">The following fees have been submitted:</th> <th style="text-align: center; padding: 5px;">CALCULATIONS</th> <th style="text-align: center; padding: 5px;">PTO USE</th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;">24. <input type="checkbox"/> Basic national fee</td> <td style="text-align: right; padding: 5px;">\$300</td> <td style="text-align: right; padding: 5px;">\$0.00</td> </tr> <tr> <td style="padding: 5px;">25. <input type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)</td> <td style="text-align: right; padding: 5px;">\$0</td> <td style="text-align: right; padding: 5px;">\$0.00</td> </tr> <tr> <td style="padding: 5px;">All other situations.....</td> <td style="text-align: right; padding: 5px;">\$200</td> <td></td> </tr> <tr> <td style="padding: 5px;">26. <input type="checkbox"/> Search fee (37 CFR 1.492(d)) If the written opinion of the ISA/US or the International preliminary examination report by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)</td> <td style="text-align: right; padding: 5px;">\$0</td> <td style="text-align: right; padding: 5px;">\$0.00</td> </tr> <tr> <td style="padding: 5px;">Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the International Searching Authority</td> <td style="text-align: right; padding: 5px;">\$100</td> <td></td> </tr> <tr> <td style="padding: 5px;">International Search Report prepared by an ISA other than the US and provided to the previously communicated to the US by the IB</td> <td style="text-align: right; padding: 5px;">\$400</td> <td></td> </tr> <tr> <td style="padding: 5px;">All other situations.....</td> <td style="text-align: right; padding: 5px;">\$500</td> <td></td> </tr> <tr> <td style="padding: 5px; text-align: center;">TOTAL OF 24, 25 and 26 =</td> <td style="text-align: right; padding: 5px;">\$</td> <td style="text-align: right; padding: 5px;">\$0.00</td> </tr> <tr> <td colspan="3" style="padding: 5px;"> <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(l)). The fee is \$260 for each additional 50 sheets of paper or fraction thereof. </td> </tr> <tr> <td>Total Sheets</td> <td>Extra Sheets</td> <td>Number of each additional 50 or fraction thereof (round up to a whole)</td> </tr> <tr> <td>- 100 =</td> <td>0</td> <td>/50 = 0</td> </tr> <tr> <td></td> <td></td> <td>x \$250.00</td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$</td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$0.00</td> </tr> <tr> <td colspan="3" style="padding: 5px;">Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).</td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$</td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$130.00</td> </tr> <tr> <td>CLAIMS</td> <td>NUMBER FILED</td> <td>NUMBER EXTRA</td> </tr> <tr> <td>Total claims</td> <td>- 20 =</td> <td>0</td> </tr> <tr> <td></td> <td></td> <td>x \$50.00</td> </tr> <tr> <td></td> <td></td> <td>\$</td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$0.00</td> </tr> <tr> <td>Independent claims</td> <td>- 3 =</td> <td>0</td> </tr> <tr> <td></td> <td></td> <td>x \$200.00</td> </tr> <tr> <td></td> <td></td> <td>\$</td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$0.00</td> </tr> <tr> <td colspan="3" style="padding: 5px;">MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/></td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">+</td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$360.00</td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$</td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$0.00</td> </tr> <tr> <td colspan="3" style="padding: 5px; text-align: center;">TOTAL OF ABOVE CALCULATIONS =</td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$</td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$0.00</td> </tr> <tr> <td colspan="3" style="padding: 5px;"> <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2. </td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$</td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$0.00</td> </tr> <tr> <td colspan="3" style="text-align: center; padding: 5px;">SUBTOTAL =</td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$</td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$0.00</td> </tr> <tr> <td colspan="3" style="padding: 5px;">Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).</td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$</td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$0.00</td> </tr> <tr> <td colspan="3" style="text-align: center; padding: 5px;">TOTAL NATIONAL FEE =</td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$</td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$0.00</td> </tr> <tr> <td colspan="3" style="padding: 5px;"> Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property + \$0.00 </td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$</td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$0.00</td> </tr> <tr> <td colspan="3" style="text-align: center; padding: 5px;">TOTAL FEES ENCLOSED =</td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$</td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;">\$0.00</td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;"> Amount to be <input type="checkbox"/> Amount to be <input type="checkbox"/> </td> </tr> <tr> <td colspan="3" style="text-align: right; padding: 5px;"> \$ \$0.00 </td> </tr> </tbody></table>			The following fees have been submitted:	CALCULATIONS	PTO USE	24. <input type="checkbox"/> Basic national fee	\$300	\$0.00	25. <input type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)	\$0	\$0.00	All other situations.....	\$200		26. <input type="checkbox"/> Search fee (37 CFR 1.492(d)) If the written opinion of the ISA/US or the International preliminary examination report by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)	\$0	\$0.00	Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the International Searching Authority	\$100		International Search Report prepared by an ISA other than the US and provided to the previously communicated to the US by the IB	\$400		All other situations.....	\$500		TOTAL OF 24, 25 and 26 =	\$	\$0.00	<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(l)). The fee is \$260 for each additional 50 sheets of paper or fraction thereof.			Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)	- 100 =	0	/50 = 0			x \$250.00	\$			\$0.00			Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).			\$			\$130.00			CLAIMS	NUMBER FILED	NUMBER EXTRA	Total claims	- 20 =	0			x \$50.00			\$	\$0.00			Independent claims	- 3 =	0			x \$200.00			\$	\$0.00			MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/>			+			\$360.00			\$			\$0.00			TOTAL OF ABOVE CALCULATIONS =			\$			\$0.00			<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.			\$			\$0.00			SUBTOTAL =			\$			\$0.00			Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).			\$			\$0.00			TOTAL NATIONAL FEE =			\$			\$0.00			Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property + \$0.00			\$			\$0.00			TOTAL FEES ENCLOSED =			\$			\$0.00			Amount to be <input type="checkbox"/> Amount to be <input type="checkbox"/>			\$ \$0.00		
The following fees have been submitted:	CALCULATIONS	PTO USE																																																																																																																																																																					
24. <input type="checkbox"/> Basic national fee	\$300	\$0.00																																																																																																																																																																					
25. <input type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)	\$0	\$0.00																																																																																																																																																																					
All other situations.....	\$200																																																																																																																																																																						
26. <input type="checkbox"/> Search fee (37 CFR 1.492(d)) If the written opinion of the ISA/US or the International preliminary examination report by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)	\$0	\$0.00																																																																																																																																																																					
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the International Searching Authority	\$100																																																																																																																																																																						
International Search Report prepared by an ISA other than the US and provided to the previously communicated to the US by the IB	\$400																																																																																																																																																																						
All other situations.....	\$500																																																																																																																																																																						
TOTAL OF 24, 25 and 26 =	\$	\$0.00																																																																																																																																																																					
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(l)). The fee is \$260 for each additional 50 sheets of paper or fraction thereof.																																																																																																																																																																							
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)																																																																																																																																																																					
- 100 =	0	/50 = 0																																																																																																																																																																					
		x \$250.00																																																																																																																																																																					
\$																																																																																																																																																																							
\$0.00																																																																																																																																																																							
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).																																																																																																																																																																							
\$																																																																																																																																																																							
\$130.00																																																																																																																																																																							
CLAIMS	NUMBER FILED	NUMBER EXTRA																																																																																																																																																																					
Total claims	- 20 =	0																																																																																																																																																																					
		x \$50.00																																																																																																																																																																					
		\$																																																																																																																																																																					
\$0.00																																																																																																																																																																							
Independent claims	- 3 =	0																																																																																																																																																																					
		x \$200.00																																																																																																																																																																					
		\$																																																																																																																																																																					
\$0.00																																																																																																																																																																							
MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/>																																																																																																																																																																							
+																																																																																																																																																																							
\$360.00																																																																																																																																																																							
\$																																																																																																																																																																							
\$0.00																																																																																																																																																																							
TOTAL OF ABOVE CALCULATIONS =																																																																																																																																																																							
\$																																																																																																																																																																							
\$0.00																																																																																																																																																																							
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.																																																																																																																																																																							
\$																																																																																																																																																																							
\$0.00																																																																																																																																																																							
SUBTOTAL =																																																																																																																																																																							
\$																																																																																																																																																																							
\$0.00																																																																																																																																																																							
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).																																																																																																																																																																							
\$																																																																																																																																																																							
\$0.00																																																																																																																																																																							
TOTAL NATIONAL FEE =																																																																																																																																																																							
\$																																																																																																																																																																							
\$0.00																																																																																																																																																																							
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property + \$0.00																																																																																																																																																																							
\$																																																																																																																																																																							
\$0.00																																																																																																																																																																							
TOTAL FEES ENCLOSED =																																																																																																																																																																							
\$																																																																																																																																																																							
\$0.00																																																																																																																																																																							
Amount to be <input type="checkbox"/> Amount to be <input type="checkbox"/>																																																																																																																																																																							
\$ \$0.00																																																																																																																																																																							

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

- a. A check in the amount of \$ _____ to cover the above fees is enclosed.
- b. Please charge my Deposit Account No. 07-1392 in the amount of \$ 5130.00 to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 07-1392. A duplicate copy of this sheet is enclosed.
- d. Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.486 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

CUSTOMER NO. 23347

Bonnie L. Deppenbrock
SIGNATURE

Bonnie L. Deppenbrock

NAME

28,289

REGISTRATION NUMBER

11 July 2006
DATE